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PTO/SB/05 (11-00)

Approved for use through 10/31/2002. OMB 0651-0032

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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UTILITY PATENT APPLICATION TRANSMITTAL
(Only for new nonprovisional applications under 37 CFR 1.53(b))Attorney Docket No. 004967.P004
(maximum 12 characters)First Named Inventor Stanley T. Lim, et al.Title: AN ECONOMIC FILTERING SYSTEM FOR DELIVERY OF PERMISSION BASED, TARGETED, INCENTIVIZED ADVERTISINGExpress Mail Label No. EL617184392USADDRESS TO: **Assistant Commissioner for Patents**
Box Patent Application
Washington, D. C. 20231**APPLICATION ELEMENTS**

See MPEP chapter 600 concerning utility patent application contents.

1. **Fee Transmittal Form (e.g., PTO/SB/17)**
(Submit an original, and a duplicate for fee processing)
2. **Applicant Claims Small Entity Status. (37 CFR 1.27)**
3. **Specification (Total Pages 73)**
(preferred arrangement set forth below)
 - Descriptive Title of the Invention
 - Cross Reference to Related Applications
 - Statement Regarding Fed sponsored R & D
 - Reference sequence listing, a table, or a computer program listing appendix
 - Background of the Invention
 - Brief Summary of the Invention
 - Brief Description of the Drawings (if filed)
 - Detailed Description
 - Claim(s)
 - Abstract of the Disclosure
4. **Drawings(s) (35 USC 113) (Total Sheets 31)**
5. **Oath or Declaration (Total Pages 5)**
 - a. Newly Executed (Original or Copy)
 - b. Copy from a Prior Application (37 CFR 1.63(d))
(for Continuation/Divisional with Box 18 completed)
 - i. DELETIONS OF INVENTOR(S) Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
 - c. Unsigned.
6. **Application Data Sheet. (37 CFR 1.76)**
7. CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission
(if applicable, all necessary)
 - a. Computer Readable Form (CRF)
 - b. Specification Sequence Listing on i CD-ROM or CD-R (2 copies), or ii paper
 - c. Statement verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

9. **Assignment Papers (cover sheet & documents(s))**

10. a. Separate 37 CFR 3.73(b) Statement (where there is an assignee)

10. b. Power of Attorney

11. English Translation Document (if applicable)

12. a. Information Disclosure Statement (IDS)/PTO-1449

12. b. Copies of IDS Citations

13. **Preliminary Amendment**

14. **Return Receipt Postcard (MPEP 503) (Should be specifically itemized)**

15. Certified Copy of Priority Document(s) (if foreign priority is claimed)

16. **Request and Certification under 35 U.S.C. 122(b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.**

17. Other: Copy of Postcard w/Express Mail Stamp.

18A. If a CONTINUING APPLICATION, check appropriate box and supply the requisite information:

Continuation Divisional Continuation-in-part (CIP)
Of Prior Application No.: _____ **Examiner** _____ **Group Art Unit** _____
(which is a continuation/ divisional/ CIP of prior application no. _____,
which is a continuation/ divisional/ CIP of prior application no. _____) (List entire chain of priority)

Applicant(s): Also include a Preliminary Amendment to amend the specification to claim priority.

For CONTINUATION AND DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

18B. Statement under 37 CFR 3.73(b) for continuing application:

The undersigned states that _____ (name of assignee) is
the assignee of the entire right, title, and interest in the accompanying patent application by virtue of an
assignment recorded in the Patent and Trademark Office at Reel. No. _____ Frame No. _____
(or a copy of which is attached).

19. Correspondence Address

Customer Number or Bar Code Label _____
or _____ (Insert Customer No. or Attach Bar Code Label here)

Correspondence Address Below

NAME Tarek N. Fahmi

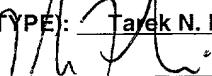
BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP

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Seventh Floor

CITY Los Angeles STATE California ZIP CODE 90025-1026

Country U.S.A. TELEPHONE (408) 720-8300 FAX (408) 720-9397

Name (PRINT/TYPE): Tarek N. Fahmi Registration No.: 41,402
Signature:  Date: 10/31/01

REQUEST AND CERTIFICATION UNDER 35 U.S.C. 122(b)(2)(B)(i)First Named Inventor John Galen Giddings, et al.Title AN ECONOMIC FILTERING SYSTEM FOR DELIVERY OF PERMISSION BASED, TARGETED, INCENTIVIZED ADVERTISINGAttorney Docket No. 004968.P004

I hereby certify that the invention disclosed in the attached application **has not and will not be** the subject of an application filed in another country, or under a multilateral agreement, that requires publication at eighteen months after filing. I hereby request that the attached application not be published under 35 U.S.C. 122(b).

10/31/01
Date
SignatureTarek N. Fahmi
Typed or Printed Name41,402
Registration No.

This request must be signed in compliance with 37 CFR 1.33(b) and submitted with the application **upon filing**.

Applicant may rescind this nonpublication request at any time. If applicant rescinds a request that an application not be published under 35 U.S.C. 122(b), the application will be scheduled for publication at eighteen months after the earliest claimed filing date for which a benefit is claimed.

If applicant subsequently files an application directed to the invention disclosed in the attached application in another country, or under a multilateral international agreement, that requires publication of applications eighteen months after filing, the applicant **must** notify the United States Patent and Trademark Office of such filing within forty-five (45) days after the date of filing of such foreign or international application.

Failure to do so will result in abandonment of this application (35 U.S.C. 122(b)(2)(B)(iii)).

Send to: Assistant Commissioner for Patents, Washington, D.C. 20231

FEE TRANSMITTAL FOR FY 2002

TOTAL AMOUNT OF PAYMENT (\$) \$2,424.00

Complete if Known:

Application No. Not AssignedFiling Date HerewithFirst Named Inventor Stanley T. Lim, et al.Group Art Unit Not AssignedExaminer Name Not AssignedAttorney Docket No. 004967.P004

METHOD OF PAYMENT (check one)

1. The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:

Deposit Account Number 02-2666
Deposit Account Name

Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17

Applicant claims small entity status. See 37 CFR 1.27

2. Payment Enclosed: Checks (\$2,384.00 & \$40.00)
 Money Order
 Other

FEE CALCULATION

1. BASIC FILING FEE

Large Entity	Small Entity	Fee Description	Fee Paid
Fee	Fee	Fee	Fee
Code	(\$)	Code	(\$)
101	740	201	370
106	330	206	165
107	510	207	255
108	740	208	370
114	160	214	80
		Utility application filing fee	<u>740.00</u>
		Design application filing fee	<u></u>
		Plant filing fee	<u></u>
		Reissue filing fee	<u></u>
		Provisional application filing fee	<u></u>

SUBTOTAL (1) \$ 740.00

2. EXTRA CLAIM FEES

	Extra Claims	Fee from below	Fee Paid
Total Claims 88	- 20** = 68	X \$18.00	= \$1,224.00
Independent Claims 8	- 3** = 5	X \$84.00	= \$420.00
Multiple Dependent			=

**Or number previously paid, if greater; For Reissues, see below.

Large Entity Small Entity

Fee	Fee	Fee	Fee	Fee Description
Code	(\$)	Code	(\$)	
103	18	203	9	Claims in excess of 20
102	84	202	42	Independent claims in excess of 3
104	280	204	140	Multiple dependent claim, if not paid
109	84	209	42	**Reissue independent claims over original patent
110	18	210	9	**Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) \$ 1,644.00

FEE CALCULATION (continued)

3. ADDITIONAL FEES

<u>Large Entity</u>	<u>Small Entity</u>	<u>Fee Description</u>	<u>Fee Paid</u>
Fee Code	Fee (\$)	Fee Code (\$)	
105	130	205	65
127	50	227	25
139	130	139	130
147	2,520	147	2,520
099	8,800	099	8,800
112	920*	112	920*
113	1,840*	113	1,840*
115	110	215	55
116	400	216	200
117	920	217	460
118	1,440	218	720
128	1,960	228	980
119	320	219	160
120	320	220	160
121	280	221	140
138	1,510	138	1,510
140	110	240	55
141	1,280	241	640
142	1,280	242	640
143	460	243	230
144	620	244	310
122	130	122	130
123	50	123	50
126	180	126	180
581	40	581	40
146	740	246	370
148	110	248	55
149	740	249	370
179	740	279	370
169	900	169	900
195	300	195	300
196	300	196	300
194	130	194	130
098	130	098	130
091	1,280	091	1,280
Acceptance of unintentionally delayed claim for priority			<u>40.00</u>

Other fee (specify) _____

Other fee (specify) _____

SUBTOTAL (3) \$ 40.00

*Reduced by Basic Filing Fee Paid

SUBMITTED BY:

Typed or Printed Name: Tarek N. Fahmi

Signature: _____ Date: 10 31 01

Reg. Number: 41,402 Telephone Number: (408) 947-8200

EXPRESS MAIL CERTIFICATE OF MAILING

"Express Mail" mailing label number: EL617184392US
Date of Deposit: October 31, 2001

I hereby certify that I am causing this paper or fee to be deposited with the United States Postal Service "Express Mail Post Office to Addressee" service on the date indicated above and that this paper or fee has been addressed to the Assistant Commissioner for Patents, Washington, D. C. 20231

Geneva Walls

(Typed or printed name of person mailing paper or fee)

(Signature of person mailing paper or fee)

October 31, 2001

(Date signed)

Serial/Patent No.: <u>***</u>	Filing/Issue Date: <u>Herewith</u>
Client: <u>SmartPenny.com, Inc.</u>	
Title: <u>AN ECONOMIC FILTERING SYSTEM FOR DELIVERY OF PERMISSION BASED, TARGETED, INCENTIVIZED ADVERTISING</u>	
BSTZ File No.: <u>004967.P004</u>	Atty/Secty Initials: <u>TNF/CMC/gw</u>
Date Mailed: <u>October 31, 2001</u>	Docket Due Date: <u>***</u>
The following has been received in the U.S. Patent & Trademark Office on the date stamped hereon:	
<input type="checkbox"/> Amendment/Response (____ pgs.)	<input checked="" type="checkbox"/> Express Mail No: <u>EL617184392US</u> <input checked="" type="checkbox"/> Check No. <u>621</u>
<input type="checkbox"/> Appeal Brief (____ pgs.) (in triplicate)	<input type="checkbox"/> Month(s) Extension of Time <u> </u> Amt <u>\$2,384.00</u>
<input checked="" type="checkbox"/> Application - Utility (<u>73</u> pgs., with cover and abstract)	<input type="checkbox"/> Information Disclosure Statement & PTO-140 (____ pgs.) <input checked="" type="checkbox"/> Check No. <u>622</u>
<input type="checkbox"/> Application - Rule 1.53(b) Continuation (____ pgs.)	<input type="checkbox"/> Issue Fee Transmittal <u> </u> Amt: <u>\$40.00</u>
<input type="checkbox"/> Application - Rule 1.53(b) Divisional (____ pgs.)	<input type="checkbox"/> Notice of Appeal
<input type="checkbox"/> Application - Rule 1.53(b) CIP (____ pgs.)	<input type="checkbox"/> Petition for Extension of Time
<input type="checkbox"/> Application - Rule 1.53(d) CPA Transmittal (____ pgs.)	<input type="checkbox"/> Petition for _____
<input type="checkbox"/> Application - Design (____ pgs.)	<input checked="" type="checkbox"/> Postcard
<input type="checkbox"/> Application - PCT (____ pgs.)	<input type="checkbox"/> Power of Attorney (____ pgs.)
<input type="checkbox"/> Application - Provisional (____ pgs.)	<input type="checkbox"/> Preliminary Amendment (____ pgs.)
<input checked="" type="checkbox"/> Assignment and Cover Sheet	<input type="checkbox"/> Reply Brief (____ pgs.)
<input checked="" type="checkbox"/> Certificate of Mailing (<u>Express Mail</u>)	<input type="checkbox"/> Response to Notice of Missing Parts
<input checked="" type="checkbox"/> Declaration & POA (<u>5</u> pgs. <u>Executed</u>)	<input type="checkbox"/> Small Entity Declaration for Indep. Inventor/Small Business
<input type="checkbox"/> Disclosure Docs & Orig & Cpy of Inents Signed Letter (____ pgs.)	<input checked="" type="checkbox"/> Transmittal Letter, in duplicate
<input checked="" type="checkbox"/> Drawings: <u>31</u> # of sheets includes <u>31</u> figures	<input checked="" type="checkbox"/> Fee Transmittal, in duplicate
<input type="checkbox"/> Other: _____	_____
_____	_____
_____	_____